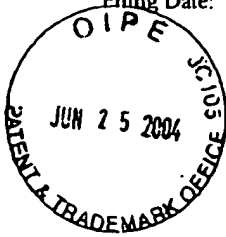


PATENT APPLICATION

Atty. Docket No.: 6647-15  
 Applicant: Stephen R. Carter and Delos C. Jensen  
 Filing Date: September 5, 2000

Serial No. 09/653,713  
 Group: 2152



SUPPLEMENTAL INFORMATION DISCLOSURE CITATION  
 FORM PTO-1449 (Modified)

U.S. PATENT DOCUMENTS

Exam Init	Ref	Document Number	Issue Date	Name	Class	Sub- Class
<u>LS</u>	—	6,009,418	12/28/1999	Cooper	706	15
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JUN 30 2004

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<u>LS</u>	—	Brian T. Bartell, Garrison W. Cottrell and Richard K. Belew, "Latent Semantic Indexing is an Optimal Special Case of Multidimensional Scaling," Department of Computer Science & Engineering-0114, University of California, 7 pages.

Examiner

*[Signature]*

Date Considered:

8/25/04

#3

PTO FORM 4/92

FORM PTO-1449

APR 18 2001

ATTY. DOCKET 0971-084

SERIAL NO. 09/109,804

1509/653,713

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION & DISCLOSURE STATEMENT

APPLICANT Carter, et al.

FILING DATE July 2, 1998

GROUP 2741-2747

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			Technology Center 2100	DEC 09 1998	

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OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)		
J.T.	C1	Applications of Functional Analysis and Operator Theory, V. Hutson, J. S. Pym, 1980, table of contents, preface and index
J.T.	C2	Latent Semantic Indexing is an Optimal Special Case of Multidimensional Scaling, Brian T. Bartell, Garrison W. Cottrell, Richard K. Belew, Pages 161-167, 1992; ACM 0-89791-524-0
J.T.	C3	Improving Relevance Feedback in the Vector Space Model, Carol Lundquist, David A. Grossman, Ophir Frieder, 1997, Pages 16-23; ACM 0-89791-970-X
J.T.	C4	A Multilevel Approach to Intelligent Information Filtering: Model, System, and Evaluation, J. Mostafa, S. Mukhopadhyay, W. Lam, M. Palakal, ACM Transactions on Information Systems, Vol. 15, No. 4, October 1997, Pages 368-399
J.T.	C5	Capturing the State of Distributed Systems with XML, Rohit Khare and Adam Rifkin, 10/26/97, Pages 1-12
J.T.	C6	Semantic Information Retrieval, Annelise Mark Pejtersen, Pages 90-92, Communications of the ACM, April 1998/Vol 41. No. 4
J.T.	C7	Unifying Heterogeneous Information Models, Narinder Singh, Pages 37-44, Communications of the ACM, May 1998/Vol. 41, No. 5
J.T.	C8	Platform for Internet Content Selection (PICS), 1/3/98, <a href="http://www.w3.org/pics/">http://www.w3.org/pics/</a>
J.T.	C9	Intelligent Collaboration & Visualization, Pages 1-16

EXAMINER DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

JOSEPH THOMAS 12/3/99

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231, this 2nd day of December, 1998.

*Rumay Field*

PATENT APPLICATION

Atty. Docket No.: 6647-3  
Applicant: Delos C. Jensen and Stephen R. Carter  
Filing Date: February 25, 2000

Serial No. 09/512,963 09/653,713 LS  
Group: 2741

INFORMATION DISCLOSURE CITATION  
FORM PTO-1449 (Modified)

U.S. PATENT DOCUMENTS

<u>Exam Init</u>	<u>Ref</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub- Class</u>
LS		5,867,799	2-02-99	Lang, et al.	707	1

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<u>Document Number</u>	<u>Publication Date</u>	<u>Country</u>	<u>Name</u>

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<u>Exam Init</u>	<u>Ref</u>	<u>(Including Author, Title, Date, Pertinent Pages, Etc.)</u>
LS		Noam Chomsky, "Language and Thought," 1993, pages 18-19, 22-27, 44-45, 60-61.
LS		Jonathan Culler, "Ferdinand de Saussure - Revised Edition," 1986, pages 38-57.
LS		Umberto Eco, Marco Santambrogio and Patrizia Violi (Editors), "Meaning and Mental Representations," 1988, page 221.
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LS		Noam Chomsky, "The Minimalist Program," 1995, pages 13-65.
LS		R. E. Edwards, "Functional Analysis - Theory and Applications," 1965, pages 10-13, 32-33, 50-53, 62-65, 88-103, 174-203, 224-233.

PATENT APPLICATION

Atty. Docket No.: 6647-3

Applicant: Delos C. Jensen and Stephen R. Carter

Filing Date: February 25, 2000

Serial No. ~~09/512,963~~

09/653,713  
LS

Group: 2741

LS

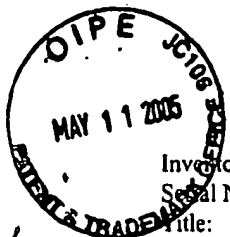
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Examiner:

Janet Spooner

Date Considered:

9/23/04



PATENT APPLICATION

Inventor(s):  
Serial No.:  
Title:

Stephen R. Carter et al.

09/653,713

Filing Date: September 5, 2000

INTENTIONAL-STANCE CHARACTERIZATION OF A GENERAL CONTENT STREAM OF  
REPOSITORY

INFORMATION DISCLOSURE CITATION  
FORM PTO-1449 (Modified)

U.S. PATENT DOCUMENTS

Exam Init	Ref	Document Number	Issue Date	Name	Class	Sub Class
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LS		6,297,824 B1	10/02/2001	Hearst et al.		
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Exam Init	Ref	Document Number	Publication Date	Country	Name

OTHER DOCUMENTS

Exam Init	Ref	Author, Title, Date, Pertinent Pages, Etc.)
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Examiner:

Date Considered:

8/25/05

Inventor(s): Stephen R. CARTER; Delos C. JENSEN

Serial No.: 09/653,713

Examiner:

Lamont M. SPOONER

Filing Date: September 5, 2000

Group Art Unit:

2654

Title: A METHOD AND MECHANISM FOR THE CREATION, MAINTENANCE, AND COMPARISON OF SEMANTIC ABSTRACTS

**INFORMATION DISCLOSURE STATEMENT**

PTO-1449

**U.S. PATENT DOCUMENTS**

<u>Exam Init</u>	<u>Ref</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>
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↑		5,317,507	5/31/94	Gallant	364	419.13
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		5,539,841	7/23/96	Huttenlocher et al.	382	218
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		5,619,709	4/08/97	Caid et al.	395	794
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		5,694,523	12/02/97	Wical	395	12
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		5,778,362	7/07/98	Deerwester	707	5
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		5,778,397	7/07/98	Kupiec et al.	707	500
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		5,873,056	2/16/99	Liddy et al.	704	9
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		6,078,953	6/20/00	Vaid et al.	709	223
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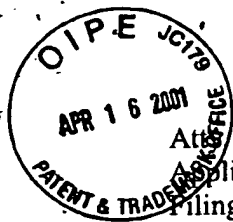
Exam Init	Ref	Document Number	Publication Date	Country	Name

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↑		Chomsky, " <u>Language and Thought</u> ," 1993, pgs. 18-19, 22-27, 44-45, 60-61.
		Chomsky, " <u>The Minimalist Program</u> ," 1995, pgs. 13-65.
		Cook et al., " <u>Chomsky's Universal Grammar – An Introduction</u> ," 1988, pgs. 40-74, 131-272.
		Culler, " <u>Ferdinand de Saussure – Revised Edition</u> ," 1986 pgs. 38-57
		Eco et al., " <u>Meaning and Mental Representations</u> ," 1988, pg. 221.
		Eco, " <u>Semiotics and the Philosophy of Language</u> ," 1984, pg. 46-86.
		Edwards, " <u>Functional Analysis; theory and applications</u> ," 1965, pgs. 10-13, 32-33, 50-53, 62-65, 88-103, 174-203, 224-233.
		Halmos, " <u>Naïve Set Theory</u> ," Undergraduate Texts in Mathematics, 1968, pgs. 56-57, 66-69.
		Hocking, " <u>Topology</u> ," 1961, pgs. 6-7, 56-59, 68-71.
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		Kahn, " <u>Topology: An Introduction to the Point-Set and Algebraic Areas</u> ," 1975, pgs. 10-15.
		Khare et al., " <u>Capturing the State of Distributed Systems with XML</u> ," 10/26/97, pgs. 1-12.
		Lundquist et al., " <u>Improving Relevance Feedback in the Vector Space Model</u> ," 1997, pgs 16-23.
		Mostafa et al., " <u>A Multilevel Approach to Intelligent Information Filtering: Model, System, and Evaluation</u> ," <i>ACM Transactions on Information Systems</i> , Vol. 15, No. 4, 10/97, pgs. 368-399.
		Pesetsky, " <u>Zero Syntax: experiencers and cascades</u> ," 1995, pgs. 1-122.
		Pejtersen, " <u>Semantic Information Retrieval</u> ," <i>Communications of the ACM</i> , Vol. 41, No. 5, 4/98, pgs. 90-92.
		" <u>Platform for Internet Content Selection (PICS)</u> ," <a href="http://www.w3.org">http://www.w3.org</a> , pgs. 1-8.
		Singh, " <u>Unifying Heterogeneous Information Models</u> ," <i>Tesseract Information Systems, Inc.</i> , <a href="http://citeseer.ist.psu.edu.com">http://citeseer.ist.psu.edu.com</a> , pgs. 1-13
↓		Smith, " <u>Computers and human language</u> ," 1991, pgs. 205-257.
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Examiner: *J. K. Span*

Date Considered: *8/25/05*



# PATENT APPLICATION

Attorney Docket No.: 6647-15

Serial No.

09/653,713

Applicant: Stephen R. Carter and Delos C. Jensen

Filing Date: September 5, 2000

Group Art Unit:

Not yet assigned

## INFORMATION DISCLOSURE CITATION FORM PTO-1449 (Modified)

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<u>Exam</u> <u>Init</u>	<u>Ref</u>	<u>Document</u> <u>Number</u>	<u>Issue</u> <u>Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub-</u> <u>Class</u>
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<u>LS</u>	<u>      </u>	<u>5,940,821</u>	<u>8/1999</u>	<u>Wical</u>	<u>707</u>	<u>3</u>
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<u>LS</u>	<u>      </u>	<u>5,974,412</u>	<u>10/26/99</u>	<u>Hazlehurst, et al.</u>	<u>707</u>	<u>3</u>
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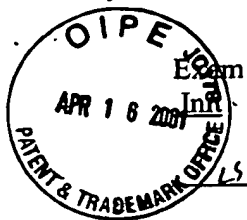
<u>Document</u> <u>Number</u>	<u>Publication</u> <u>Date</u>	<u>Country</u>	<u>Name</u>
<u>      </u>	<u>      </u>	<u>      </u>	<u>      </u>
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| <u>LS</u>  | Jonathan Culler, "Ferdinand de Saussure - Revised Edition," 1986, pages 38-57.   |
| <u>LS</u>  | Umberto Eco, Marco Santambrogio and Patrizia Violi (Editors), "Meaning and Mental Representations," 1988, page 221.  |
| <u>LS</u>  | Donald W. Kahn, "Topology - An Introduction to the Point-Set and Algebraic Areas," 1975, pages 10-15.  |
| <u>LS</u>  | Paul R. Halmos, "Naïve Set Theory," 1960, pages 56-57, 66-69.  |
| <u>LS</u>  | John G. Hocking and Gail S. Young, "Topology," 1961, pages 6-7, 56-59, 68-71.  |
| <u>LS</u>  | Umberto Eco, "Semiotics and the Philosophy of Language," 1984, pages 46-87.  |
| <u>LS</u>  | Noam Chomsky, "The Minimalist Program," 1995, pages 13-65.   |
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<http://www.w3.org/pics/>

65 Intelligent Collaboration & Visualization, Pages 1-16

Examiner: James S. Spence

Date Considered: 07/23/04



PATENT APPLICATION

Atty. Docket No.: 6647-13

Applicant: Stephen R. Carter, Delos C. Jensen and Ronald P. Millett

INFORMATION DISCLOSURE CITATION  
FORM PTO-1449 (Modified)

U.S. PATENT DOCUMENTS

<u>Exam Init</u>	<u>Ref</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub- Class</u>
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OTHER DOCUMENTS

<u>Exam Init</u>	<u>Ref</u>	<u>(Including Author, Title, Date, Pertinent Pages, Etc.)</u>
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Examiner: *Lat Spoon*

Date Considered: 9/23/04

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PATENT APPLICATION

Atty. Docket No.: 6647-15  
Applicant: Stephen R. Carter and Delos C. Jensen  
Filing Date: September 5, 2000

Serial No. 09/653,713

Group: 2152

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SUPPLEMENTAL INFORMATION DISCLOSURE CITATION  
FORM PTO-1449 (Modified)

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Exam Init	Ref	Document Number	Issue Date	Name	Class	Sub- Class
LS		6,311,194 B1	10/30/01	Sheth, et al.	707	505

FOREIGN PATENT DOCUMENTS

Document Number	Publication Date	Country	Name

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Examiner: Samuel Sponner

Date Considered: 9/23/04

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Applicant: Stephen R. Carter and Delos C. Jensen  
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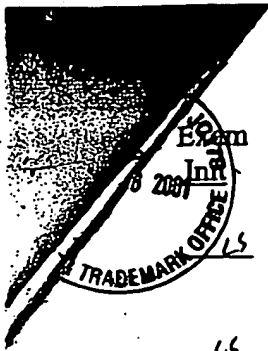
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Examiner: Lamont Spooner

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Examiner: James D. Spence

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# PATENT APPLICATION

Att. Docket No.: 6647-15

Serial No.

09/653,713

Applicant: Stephen R. Carter and Delos C. Jensen

Filing Date: September 5, 2000

Group Art Unit:

Not yet assigned

## INFORMATION DISCLOSURE CITATION FORM PTO-1449 (Modified)

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<u>LS</u>	_____	<u>5,325,298</u>	<u>6/1994</u>	<u>Gallant</u>	<u>704</u>	<u>9</u>
<u>LS</u>	_____	<u>5,551,049</u>	<u>8/27/96</u>	<u>Kaplan, et al.</u>	<u>707</u>	<u>532</u>
<u>LS</u>	_____	<u>5,675,819</u>	<u>10/7/97</u>	<u>Schuetze</u>	<u>704</u>	<u>10</u>
<u>LS</u>	_____	<u>5,694,523</u>	<u>12/1997</u>	<u>Wical</u>	<u>706</u>	<u>45</u>
<u>LS</u>	_____	<u>5,721,897</u>	<u>2/24/98</u>	<u>Rubinstein</u>	<u>707</u>	<u>2</u>
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<u>LS</u>	_____	<u>5,867,799</u>	<u>2/02/99</u>	<u>Lang, et al.</u>	<u>707</u>	<u>1</u>
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Examiner:

*Samuel Spooner*

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Examiner:

*Rumold Spomer*

Date Considered:

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Examiner: Lamont Spooner

Date Considered: 9/23/04



## PATENT APPLICATION

Att. Docket No.: 6647-13

Serial No. \_\_\_\_\_

Applicant: Stephen R. Carter, Delos C. Jensen and Ronald P. Millett

Filing Date: July 13, 2000

Group: \_\_\_\_\_

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